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PTO/SB/21 (08-00)

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**TRANSMITTAL FORM**  
(to be used for correspondence after initial filing)

U.S. PATENT & TRADEMARK OFFICE  
FEB 11 2002

Application Number	10/033,646
Filing Date	December 27, 2001
First Named Inventor	Kenji Yamagami
Group Art Unit	Unknown
Examiner Name	Unknown
Attorney Docket Number	36992.00089 (HAL ID 198)

Total Number of Pages in This Submission

N/A

**ENCLOSURES (check all that apply)**

☒ Fee Transmittal Form (in duplicate)

☐ Fee Attached

☐ Amendment / Response

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☒ Information Disclosure Statement  
(2 pages)

☒ PTO Form 1449 (1 page)  
(original plus one)

☐ Response to Missing Parts/  
Incomplete Application

☐ Response to Missing  
Parts under 37 CFR  
1.52 or 1.53

☐ Assignment Papers  
(for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition

☐ Petition to Convert to a  
Provisional Application

☐ Power of Attorney, Revocation  
Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s) \_\_\_\_\_

☐ After Allowance Communication to  
Group

☐ Appeal Communication to Board of  
Appeals and Interferences

☐ Appeal Communication to Group  
(Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s)  
(please identify below):

**8 References**  
**Return Receipt Postcard**

Remarks

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm  
or  
Individual name

Daryl C. Josephson, Reg. No. 37,365  
Squire, Sanders & Dempsey, L.L.P.  
600 Hansen Way  
Palo Alto, CA 94304-1043

Signature

*Daryl C. Josephson*

Date

January 31, 2002

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: January 31, 2002

Typed or printed name

Sandy Yi

Signature

*Sandy Yi*

Date

January 31, 2002

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<h1 style="margin: 0;">FEE TRANSMITTAL</h1> <h2 style="margin: 0;">for FY 2002</h2> <div style="display: flex; align-items: center; justify-content: center;"> <div style="margin-left: 10px;"> <p><small>Patent fees are subject to annual revision.</small></p> </div> </div>		<p><b>Complete if Known</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">Application Number</td> <td>10/033,646</td> </tr> <tr> <td>Filing Date</td> <td>December 27, 2001</td> </tr> <tr> <td>First Named Inventor</td> <td>Kenji Yamagami</td> </tr> <tr> <td>Examiner Name</td> <td>Unknown</td> </tr> <tr> <td>Group / Art Unit</td> <td>Unknown</td> </tr> <tr> <td>Attorney Docket No.</td> <td>36992.00089 (HAL ID 198)</td> </tr> </table>		Application Number	10/033,646	Filing Date	December 27, 2001	First Named Inventor	Kenji Yamagami	Examiner Name	Unknown	Group / Art Unit	Unknown	Attorney Docket No.	36992.00089 (HAL ID 198)
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TOTAL AMOUNT OF PAYMENT (\$)		0													

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Technology Center 2100

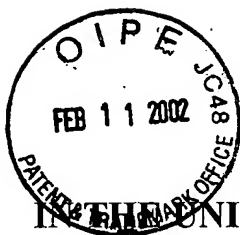
<p><b>METHOD OF PAYMENT (check all that apply)</b></p> <p> <input type="checkbox"/> Check    <input type="checkbox"/> Credit card    <input type="checkbox"/> Money Order    <input type="checkbox"/> Other    <input type="checkbox"/> None         </p> <p><input checked="" type="checkbox"/> Deposit Account:</p> <div style="display: flex; margin-top: 10px;"> <div style="width: 30%;"> <p>Deposit Account Number</p> <p>05-0150</p> </div> <div style="width: 70%;"> <p>Deposit Account Name</p> <p>Squire, Sanders &amp; Dempsey, L.L.P.</p> </div> </div> <p><b>The Commissioner is authorized to: (check all that apply)</b></p> <p> <input type="checkbox"/> Charge fee(s) indicated below    <input type="checkbox"/> Credit any overpayments  <input checked="" type="checkbox"/> Charge any additional fee(s) during the pendency of this application  <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.         </p>					<p><b>3. ADDITIONAL FEES</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Fee Code</th> <th>Large Entity Fee (\$)</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td></td></tr> <tr><td>116</td><td>400</td><td>216</td><td>200</td><td></td></tr> <tr><td>117</td><td>920</td><td>217</td><td>460</td><td></td></tr> <tr><td>118</td><td>1,440</td><td>218</td><td>720</td><td></td></tr> <tr><td>128</td><td>1,960</td><td>228</td><td>980</td><td></td></tr> <tr><td>119</td><td>320</td><td>219</td><td>160</td><td></td></tr> <tr><td>120</td><td>320</td><td>220</td><td>160</td><td></td></tr> <tr><td>121</td><td>280</td><td>221</td><td>140</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td></td></tr> <tr><td>141</td><td>1,280</td><td>241</td><td>640</td><td></td></tr> <tr><td>142</td><td>1,280</td><td>242</td><td>640</td><td></td></tr> <tr><td>143</td><td>460</td><td>243</td><td>230</td><td></td></tr> <tr><td>144</td><td>620</td><td>244</td><td>310</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td></td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td></td></tr> <tr><td>126</td><td>180</td><td>126</td><td>180</td><td></td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td></td></tr> <tr><td>146</td><td>740</td><td>246</td><td>370</td><td></td></tr> <tr><td>149</td><td>740</td><td>249</td><td>370</td><td></td></tr> <tr><td>179</td><td>740</td><td>279</td><td>370</td><td></td></tr> <tr><td>169</td><td>900</td><td>169</td><td>900</td><td></td></tr> </tbody> </table> <p>Other fee (specify) _____</p> <p>*Reduced by Basic Filing Fee Paid</p>					Fee Code	Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65		127	50	227	25		139	130	139	130		147	2,520	147	2,520		112	920*	112	920*		113	1,840*	113	1,840*		115	110	215	55		116	400	216	200		117	920	217	460		118	1,440	218	720		128	1,960	228	980		119	320	219	160		120	320	220	160		121	280	221	140		138	1,510	138	1,510		140	110	240	55		141	1,280	241	640		142	1,280	242	640		143	460	243	230		144	620	244	310		122	130	122	130		123	50	123	50		126	180	126	180		581	40	581	40		146	740	246	370		149	740	249	370		179	740	279	370		169	900	169	900	
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\*\*or number previously paid, if greater; For Reissues, see above

<p><b>SUBMITTED BY</b></p>		<p><b>Complete (if applicable)</b></p>			
Name (Print/Type)	Daryl C. Josephson	Registration No. Attorney/Agent)	37,365	Telephone	650.856.6500
Signature				Date	January 31, 2002

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PATENT  
Attorney Docket No.: 36992.00089 (HAL ID 198)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

CERTIFICATE OF MAILING

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, Washington, D.C. 20231, on

Date: 1/31/02

By: Sandy Yi  
Sandy Yi

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FEB 19 2002  
Technology Center 2100

In re Application of:  Kenji Yamagami  Serial No.: 10/033,646  Filed: December 27, 2001  Title: METHOD AND APPARATUS FOR MANAGING STORAGE BASED REPLICATION	Examiner: Unknown  Art Unit: Unknown
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Commissioner for Patents  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT PURSUANT  
TO 37 CFR §§1.97-1.98**

Sir:

In accordance with the duty of disclosure under 37 CFR §1.56 and pursuant to 37 CFR §§1.97-1.98, Applicant hereby notifies the U.S. Patent and Trademark Office of the references listed on the attached Form PTO-1449. One copy of each cited reference is submitted herewith.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant reserves the right to dispute any of the listed documents as prior art during examination. Furthermore, Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application. The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made or that no other material information may exist.


The Examiner is requested to initial the enclosed Form PTO-1449 and return a copy thereof to the undersigned.

If for any reason an insufficient fee has been paid, please charge the insufficiency to Deposit Account No. 05-0150.

Date: 12-31-02

Squire, Sanders & Dempsey L.L.P.  
600 Hansen Way  
Palo Alto, CA 94304-1043  
Telephone (650) 856-6500  
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Respectfully submitted,

  
Daryl C. Josephson  
Attorney for Applicant  
Reg. No. 37,365